

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

**NJ CY1506 5 Card Cash**

Adam Bek

14-Jun-2016

Revision 1.0

**Review History:**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 01-Feb-2016 | Summary Review 1 |
| 2 | 10-Mar-2016 | Summary Review 2 |
| 3 | 19-Apr-2016 | Summary Review 3 |
| 4 | 27-May-2016 | Draft CAPA |
| 5 | 07-Jun-2016 | Draft CAPA Management Response |
| 6 | 08-Jun-2016 | Draft CAPA – peer review |
| 7 | 14-Jun-2016 | Final CAPA |

**Project Information:**

Customer Name: New Jersey Lottery

Batch Name: NJ CY1506 5 Card Cash

SAP ID: NJ 20949

GO Live: 15-May-2016

Location: Austin

**Project Stakeholders:**

Regional Lead: Steven Fiedler

Program Manager: Matthew Verme

Software Project Manager: Kannan Gopal

Compliance Manager: Karen Robertson

Standards Compliance Lead: Adam Bek

## Related Documents:

None

## Definitions, Acronyms and Abbreviations:

* BI – Business Intelligence
* CML – Configuration Management Lead
* CR – Change Request
* PRR – Product Release Request
* RDL – Regional Lead
* SDD – Software Design Description
* SRS – Software Requirements Specification
* CAPA – Correct Action/Preventive Action Report

**Project Schedule:**

|  |  |  |
| --- | --- | --- |
| **Task Name** | **Start** | **Finish** |
| Defining Scope, SRS Creation and review | 23-Nov-2015 | 11-Nov-2015 |
| Team review SRS | 14-Dec-2015 | 24-Dec-2015 |
| S/W Design (2 weeks) | 28-Dec-2015 | 08-Jan-2016 |
| S/W Development (6 weeks) | 11-Jan-2016 | 19-Feb-2016 |
| S/W Integration & SW Merges (1 Week) | 22-Feb-2016 | 27-Feb-2016 |
| SQA/Site testing (4 weeks) | 29-Feb-2016 | 1-Apr-2016 |
| Site Testing (1 Week) | 4-Apr-2016 | 8-Apr-2016 |
| CAT testing (4 weeks) | 11-Apr-2016 | 6-May-2016 |
| Install Prep (1 Weeks) | 9-May-2016 | 13-May-2016 |
| Install /Go-Live |  | 15-May-2016 |

**Scope:**

This review is for the NJ CY1506 5 Card Cash. The detail findings below are a result of the two summary review and the final findings report.

The purpose of the CAPA report is to provide management with appropriate visibility into the processes being used by the software project(s) and of the products being built. This report will provide insight into any process improvements, trend analysis or other project issues that come up.  A Management response is required by the project for the findings listed below. Any discrepancies can be reported back to the STC Lead. Corrective Action or Preventative Action will then be given based on the responses and the findings.

*Sample of required management response below:*

|  |  |
| --- | --- |
| **Finding:** | **Detail:** |
| **Management Response:** |
| **Corrective Action/Preventative Action**  *This will be completed by STC once management responses are completed* |

Summary of Findings/Weaknesses:

|  |  |
| --- | --- |
| **Finding:**  **All Process Areas** | **Detail:**   * No weaknesses identified from the sampled practices |
| **Management Response:**   |  | | --- | | * Not Applicable | |
| **Corrective Action/Preventative Action**   * Project manager resolved all preliminary findings by updating Clarity folder with required records. |

Detail of Findings:

|  |  |  |  |
| --- | --- | --- | --- |
| CAPA | | | |
| All Process Areas | Project manager resolved all preliminary findings | LI |  |

**Appendix**

**CMMI Process Areas and Definitions**

|  |  |
| --- | --- |
| **Process Area** | **Definition** |
| Requirements Development (RD) | RD emphasizes the establishment of customer, product and product component requirements. |
| Requirements Management (REQM) | REQM adds the management of requirements to provide a well-controlled foundation on which the product is built. |
| Project Planning (PP) | PP aids project managers in planning project activities |
| Project Monitoring and Control (PMC) | PMC emphasizes managing project performance according to the plan. |
| Risk Management (RSKM) | RSKM enables projects to proactively identify and reduce risks that may jeopardize achieving project objectives. |
| Configuration Management (CM) | CM emphasizes configuration management and change control processes for designated work products. |
| Process and Product Quality Assurance (PPQA) | PPQA evaluates the quality of processes and work products. |
| Measurement and Analysis (MA) | MA addresses the information needs of the organization and projects with a measurement system. |
| Decision Analysis and Resolution (DAR) | DAR supports making major decisions using a formal decision process. |
| Technical Solution (TS) | TS focuses on designing and building the solutions. |
| Product Integration (PI) | PI addresses integrating the solutions and delivering the products. |
| Verification (VER) | VER emphasizes ensuring the solutions satisfy the requirements. |
| Validation (VAL) | VAL emphasizes ensuring the solutions satisfy the need. |

**Legends for the ratings:**

**LI** – Largely Implemented

**PI** – Partially Implemented

**NI** – Not Implemented

|  |
| --- |
| **Abbreviations(ratings)** |
| LI-Largely Implemented |
| PI-Partially Implemented |
| NI-Not implemented |
| OBV-Observation |